

Please type a plus sign (+) inside this box → ☐Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Applicati n Number	09/702,219 09721124	
	Filing Date	November 21, 2000	
	First Named Inventor	A. Paul Alivisatos	
	Group Art Unit	1754	
	Examiner Name	Bos, S.	
Total Number of Pages in This Submission	4	Attorney Docket Number	IB-1576CIP

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	Additional Enclosures: 1. Request for Corrected filing receipt letter
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		2. marked up copy of original filing receipt

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Charles R. Nold; Lawrence Berkeley National Laboratory
Signature	C R Nold
Date	4/16/02

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 04/16/2002	
Typed or printed name	Charles R. Nold
Signature	C R Nold
Date	4/16/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Practitioner's Docket No. IB-1576A



COPY OF PAPERS  
ORIGINALLY FILED

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Alivisatos, A. Paul; Rockenberger, Joerg

Application No.: 09/721,126

Group No.: 1754

Filed: 11/22/2000

Examiner: Bos, S.

For: Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

Assistant Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There are errors with respect to the following, some of which are incorrectly entered and some of which are omitted.

**CERTIFICATION UNDER 37 C.F.R. § 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being:

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D.C. 20231  
37 CFR 1.8a  
☒ with sufficient postage as first class mail.
- ☐ as "Express Mail Post Office to Addressee" Mailing Label  
37 CFR 1.10  
No. \_\_\_\_\_
- ☐ facsimile transmitted to the Patent and Trademark Office, 703 \_\_\_\_\_  
TRANSMISSION

Date: 4/16/02

  
Signature

C R Nold  
Type or print name of person certifying

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

**Error in**

1. Applicant's name
2. Applicant's name

**Correct data**

1. Alivisatos, A. Paul
- 2 Joerg Rockenberger

**COPY OF PAPERS  
ORIGINALLY FILED**

3. The corrections are not due to any error by applicant and no fee is due.

Date: 4/16/02

CR Nold  
Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90B  
Berkeley, CA 94720

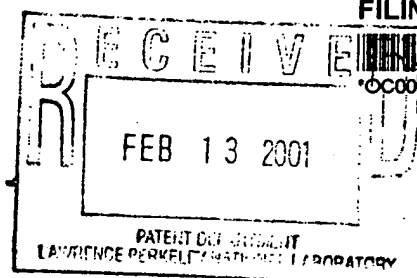
COPY OF PAPERS  
ORIGINALLY FILED*IB-1576-CIP*

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/721,126	11/22/2000	1754	435	IB-1576- C.I.P.	9	16	5

~~Patent Counsel~~ Charles R. Nold  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90-1121  
Berkeley, CA 94720



## FILING RECEIPT

\*0000000005746813\*

Date Mailed: 02/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

~~Paul R. Martin, Berkeley, CA;~~*A. Paul Alivisatos, Berkeley, CA**Joerg Joerg Rockenberger, Berkeley, CA*

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/162,299 10/28/1999

*This Appln is a CIP of 09/702,219; filed 10/30/00; now allowed.*

## Foreign Applications

## \*\* SMALL ENTITY \*\*

## Title

Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

## Preliminary Class

423

Data entry by : DILLON, LAWANDA

Team : OIPE

Date: 02/08/2001

